



U.S. Department of the Interior
"To-Be" Trust Business Model
Process Template

Title: Contract Preparation

Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)

Process Number
UM.1

1. Process Definition *Provide an overview of the process and define its starting and ending points*

1.1 Starts With	Retrieve existing land use plans, inventories and statuses of management unit (MU) resources.
1.2 Process Overview	For a detailed explanation of this process, see the following: UM.1.1 Establish MU Baseline UM.1.2 Secure Beneficiary Consent UM.1.3 Assess Land Use Suitability UM.1.4 Obtain Site Specific Environmental Clearances UM.1.5 Draft Land Use Requirements
1.3 Stops With	A MU plan and use requirements are completed.

2. Trust Business Objectives *Identify the Comprehensive Trust Model strategic goals and business objectives to which this process contributes.*

Goal/Objective
GOAL 4: LAND AND NATURAL RESOURCES MANAGEMENT THAT MAXIMIZES RETURN WHILE MEETING BENEFICIARY DESIRES
OBJECTIVE 4.1: LAND AND NATURAL RESOURCE ASSET PLANS AND STEWARDSHIP STRATEGIES Develop land and natural resource asset plans and stewardship strategies.
OBJECTIVE 4.2: PRESERVATION AND PROTECTION OF LAND AND NATURAL RESOURCE ASSETS Preserve and protect the long-term viability of land and natural resource assets consistent with fiduciary duties and with the beneficiaries' intended use of the as-sets.
OBJECTIVE 4.3: LAND AND NATURAL RESOURCE ASSET BUSINESS MANAGEMENT Manage land and natural resource assets effectively and proactively to obtain fair market value for beneficiaries and to incorporate beneficiary requirements.
OBJECTIVE 4.4: APPRAISALS Obtain appraisal information, as needed, on trust and restricted lands for tribal and individual Indian owners, using methods and techniques that meet professional standards.



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3. How should Beneficiaries be involved in this process?

Beneficiary Involvement

A beneficiary's intent for use of the land is considered in developing an MU plan. Additionally, a beneficiary may be asked to give consent to proceed with land use contracting.

4. Organizations, Offices and Roles. Identify the DOI organizations and related roles that should be involved in performing the process.

4.1 DOI Organizations. Identify the DOI organizations, offices and individual roles that contribute to this process.

DOI organizations include the Office of the Secretary, BIA, OST, BLM, MMS, OHA, OSM among others.

Offices include Central Offices, Regional Offices, Agency(Field) Offices, etc.

All individual roles that contribute, in a significant manner, should be identified.

Organization	Office	Role	Contribution
BIA	Agency		<p>Compile existing land availability information and natural resource inventories.</p> <p>Review MU baseline(s) for completeness.</p> <p>Review any wide-area, program/resource, or special plan. Assess and incorporate valuations and impacts to relevant MUs into the Baseline Report.</p> <p>Assess the proposed use and document the type of consent request necessary.</p> <p>Identify "highly fractionated" tracts or management units for certain types of land use contracts in order to issue constructive notice in lieu of individual 90 day consent notices.</p> <p>Prepare documentation of consent, recommendation for exercising authority on behalf of non-respondents for highly fractionated MUs.</p> <p>Audit accuracy and compliance of the consent process and information used.</p> <p>Perform review, analysis, and</p>



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Organization	Office	Role	Contribution
			document Suitability Assessment. Prepare or arrange for the documents necessary to address site-specific clearances. Provide decision on clearances for tracts and MUs. Forward assessments with wide geographic impacts to regional office. Compile draft of land use contract requirements. Draft advertisement content and schedule.
BIA	Regional or National Office		Coordinate printing and mailing of consent notices. Document beneficiary consent response and determine consent status. Trigger system to run a tabulation summary as a "Consent Report". Image consent responses and forward information.
MMS (for minerals or oil/gas only)	Field Office		Provide minerals or oil/gas seismic, geologic, and exploratory information.
Compacted or Contracted Tribe	Tribal Office		Perform all DOI functions except those considered inherently federal.

4.2 External Organizations. *Identify the non-DOI organizations that support the execution of or contribute to this process.*

External Organization	Contribution
Candidate Operator (for minerals or oil/gas only)	Provide minerals or oil/gas seismic, geologic, exploratory information.



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- 5. Event(s)** *Identify the events or conditions that start the process. Describe each event and indicate the frequency (daily, monthly, quarterly, etc.) in which each event is expected to occur. An event may be an external interaction (a beneficiary submits an application), the expiration of a period of time (a lease is due to expire in 90 days), or the realization of some pre-defined threshold (an IIM account reaches the automatic disbursement threshold).*

Event	Description	Estimated Frequency
Scheduled land availability	Time event - approximately 12 months in advance of planned agreement dates identified in the Program Plan, for all MU's available for use, with currently effective consent.	[Differs by program]
Depletion event	An event, natural disaster, or external party action, which depletes, deteriorates, or negatively impacts Trust resources in an unplanned fashion (e.g. fire, infestation, petroleum deposit drainage).	
Recorded use proposal	Unsolicited use proposal that has been processed through recording is deemed to be consistent with intended use and has sufficient merit for further assessment.	
Completion of an MU Baseline Report	MU Baseline Report will contain an inventory of MU's available for land use contracts, so this process will be done "en masse", or concurrently, for all MU's available during at this time.	Once per quarter
Scheduled MU availability	Where land use planning and contract schedules have mass availability of similar-use Management Units at the same time, e.g. Range Units for a reservation coming available every 5 years. Similarly, residential tracts could be available every quarter (3 months). A schedule could be made for most types of land use, with the exception of forestry, and extractive uses (minerals, oil/gas).	Every 3 months for residential and commercial; every year for range or agricultural use.
Time	Certain natural resources require periodic review for suitability, such as forest stands, which depend upon natural biological growth of the Trust asset.	
Natural Events	Fire, flood, insect infestation or market opportunities may require re-evaluation of the suitability or economic viability of a Management Unit(s).	
Use Proposal	Normal process flow of an unsolicited proposal from LNRP to MU Planning.	
Request for Environmental	Where additional environmental assessments are	



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Event	Description	Estimated Frequency
Assessment and Site-Specific Clearance	required, this process hands off to & supports the environmental clearance process.	
Suitability Assessment completed with decision to proceed to contract land use		

6. Inputs and Outputs. *Identify and describe all inputs and outputs related to this process. Inputs are information or materials used during the execution of the process; outputs are materials or information produced by the process.*

6.1 Inputs

Input	Description
Management Unit Inventories	Inventory of the tracts of land, sorted by MU, available for a specific type of land use (e.g. grazing, agriculture, residential, forestry, reserved for cultural use, etc.)
Program Plan	Objectives, schedules, and plans specific to a type of land use, for the same geographic scope of the Wide Area Plan.
Plan of Operations	Previous operational plan for the MU, if one exists.
Monitoring Assessment(s)	Opinions and observations resulting for an inspection of a tract or tracts.
MU Survey(s)	
Resource Inventories	Resource quantity estimates and valuations for each Management Unit.
Beneficiary Declaration of Land Use Intent	Tribal and individual Indian declarations and comments gathered from interaction with beneficiaries, particularly through BRDM processes. This information would exist as integrated data in the Tracking System.

6.2 Outputs

Output	Description
MU Baseline Report	
MU Valuation Requests	Requirements for valuation for a specific type of use of a Management Unit or its resources.



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7. Fiduciary and Legal Obligations and Controls

7.1 Obligations

Identify and describe the legal and fiduciary obligations that impact this process. For each obligation, indicate the document or commitment that defines the obligation and the citation (paragraph or section) within the document that pertains to this process.

Obligation	Source	Business Impact
See attached Schedule 1		

7.2 Controls

Identify and describe any controls (enforcement mechanisms) that may be used to ensure that the process adheres to obligations and internal process requirements. Controls may be reviews, audits, segregated duties, etc. Indicate the reason that each control should be introduced (name the obligation that a control is intended to enforce; indicate any controls required to ensure consistency or reliability).

Control	Reason	Description
Bureau of Indian Affairs Manual (IAM)	Internal control	BIA policies and procedures

8. Mechanisms (Systems of Record)

Identify the mechanisms, or systems, that are needed to support the process (ex: Ownership, Leasing, Workflow Management, Office Filing System, etc.). Indicate the information and activities, relevant to this process, that each system supports.

System Name	Support
GIS - Land Management	Ability to spatially represent land for planning purposes, integrated with ownership and other realty information related to the land base (interfaced via a land tract ID number).
Land Planning System	Supports all information to plan and manage land and is integrated with the GIS system.
Tracking System	Interactive tracking system that provides access to comments, declarations, or indications of beneficiary intent for land use. The information will be incorporated into the baseline guiding the plan for use of each Management Unit.
Workflow Engine System	Supports procedural handoffs between processes and geographically disparate offices. For example, beneficiary comments and declarations for intended use of the land may be collected by a BRDM process and forwarded to MU planning.



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9. Inter-Process Relationships *Identify other trust processes that are related to this process (either predecessors or successors). If applicable, indicate the condition under which the processes are related.*

9.1 Predecessors. *Predecessors are processes that either produce information required by this process or that result in the need to execute this process.*

Process No.	Name	Condition of Relationship
P.1.4	Transmit Determination	An approved management unit valuation is provided.
P.2.4.1	Request Environment Clearances and DOI Approvals	Receive an approved or denied MU or site-specific environmental clearance.
P.2.5	Issue Plan	Wide-area and program level plan provide identification and boundaries of management units, various land use requirements; suitability criteria and beneficiary intended use of land.
P.4	Evaluate and Existing Land and NR Plan	An existing wide-area plan is still viable and approved for continued implementation.
B.6.2.3	Beneficiary Involvement for LNR Use and Management	Provide beneficiary's intent for use or changes to land use. Provide consents collected from beneficiaries.
B.2.4	Transfer Inquiry/Request to Appropriate Office	Transfer request to establish management unit baseline.
UM.3	Manage Land Use Support Activity	MU plan may require specific support activities.

9.2 Successors. *Successors are processes that either use information produced by this process or that must be executed as a result of performing this process.*

Process No.	Name	Condition of Relationship
B.3	Communicate Information	Provide the consent request to beneficiaries.



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Process No.	Name	Condition of Relationship
P.1.1	Determine Appropriate Valuation Method	Submit a management unit valuation request, when sufficient economic and valuation information is not currently available.
P.2.2.2	Collect Pertinent Data	Land use requirements provide planning with necessary information for consideration in the development of a wide-area plan.
P.2.4.1	Request Environment Clearances and DOI Approvals	Request a MU or site-specific environmental clearance.
O.1.1	Receive and Review Application Request (F-T, On-Res Undivided Interest)	Provide an approved or rejected categorical exclusion, environmental assessment and/or Phase I site assessment related to a proposed acquisition.
UM. 2	Manage Land Use Contracts	Provide the use requirements and the types of land available for use.
UM.3	Manage Land Use Support Activity	Land use support activity may be required.

10. Comments *Summarize any discussion, problems, issues or recommendations that should be considered when reviewing process performance. Category Values (Note, Best Practice, Decision, Problem, Issue, Recommendation)*

Category	Comment
Issue	Should the use of granting authority apply to proposed commercial, residential leases and if so then changes in appropriate statute may need to be initiated to provide for new authorities in those situations due to limitations of 25 USC 380?
Issue	If fee undivided interests are to be included in the land use contracting, what will be the responsibilities for including such fee interests in consent determinations? Will they have equal standing as a trust interest holder? What other services will be provided to the fee interest holder by other DOI programs such as beneficiary services?